



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 2
290 BROADWAY
NEW YORK, NY 10007-1866

Dear Assistance Agreement Recipient:

Thank you for participating in a Federal financial assistance program funded by the U.S. Environmental Protection Agency (EPA), Region 2. The purpose of this letter is to provide this year's grant application target date and instructions; as well as to notify you of new requirements for grant recipients; and to provide other important information about managing EPA assistance agreements.

Application Deadline for Non-Competitive Assistance Programs Only: If you intend to apply for **non-competitive** financial assistance from EPA Region 2 with an expected award date on or before September 30, 2011, your applications should be submitted to my attention at the address below by no later than **June 10, 2011**. It is important that we receive your application by this date to allow sufficient time for EPA's review and award processes to be completed. It is our intention to award all non-competitive grants by the end of July and your cooperation is essential to achieving this goal.

Application Deadlines for Competitive Programs: If you plan to submit an application in response to an EPA competitive assistance program, you must follow the deadlines set forth in the respective announcement. All competitive assistance programs have their own deadlines that are independent of this notice. In addition, the announcement contains instructions for submitting applications, including how and where to submit them. Links to EPA Region 2's open competitive announcements are available on [Grants.gov](http://www.epa.gov/grants) and our website at: <http://www.epa.gov/region02/grants/>.

Electronic Grant Applications: As a reminder, State agency applicants may submit non-competitive Continuing Environmental Program (CEP) applications through Grants.gov/Apply. In addition, we will now accept signed portable document format (pdf) original applications (that are not otherwise required to be submitted through Grants.gov) through our dedicated e-mail box, Region2_GrantApplicationBox@epa.gov. Only current scanned pdf forms with signatures and associated documents will be accepted as valid applications. Documents submitted in other file formats cannot and will not be accepted, nor will any outdated forms. Also, be advised that any electronic application exceeding 15 mb will most likely not make it through our email system and we recommend that it be submitted via hard copy instead. All hard copy applications must be signed original documents.

We will continue to accept paper applications submitted through the mail to:

Mr. Roch Baamonde, Chief
Grants and Contracts Management Branch
U.S. Environmental Protection Agency, Region 2
290 Broadway, 27th Floor
New York, New York 10007-1866

As a reminder, **we will only accept applications that use the current version of the SF-424**. A fillable PDF version of the current SF-424 may be accessed at http://www.epa.gov/ogd/forms/adobe/sf424v2_508_sec.pdf.

In addition, State agency applicants may submit a single set of the assurance/certification forms for their grants awarded under 40 C.F.R. Part 35. The forms allowed to be "bundled" are:

1. [SF-424B, “Assurances-Non-Construction Programs”](#)
2. [Certification Regarding Lobbying, Certification for Contracts, Grants, Loans and Cooperative Agreements.](#)
3. [EPA 4700-4, “Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance.”](#)
4. A copy of the current indirect cost rate agreement or the proposal submitted to the cognizant Federal agency covering the proposed grant period.

These certifications and assurances (forms) may be submitted to EPA on an annual basis determined by the applicant and the applicant must clearly identify in a cover letter the period covered by the bundled assurances/certifications. If an applicant does not indicate a specific timeframe, the bundle will be valid only for the current Federal fiscal year during which the forms were submitted. Updated forms must be submitted when changes to the responses are required.

To view the EPA Region 2 Application Kit on our website and download application forms, please go to: <http://www.epa.gov/region02/grants/kit.htm>. If you prefer, a paper or electronic copy of the kit and forms may be obtained by contacting us at 212-637-3402, or by e-mail at Stephens.Janet@epa.gov.

Electronic Grant Awards: Just as we are encouraging you to submit electronic applications, it is our intention to provide all recipients with electronic grant awards. Beginning with this grant season, we will be issuing pdf versions of grant awards and sending them via email. Recipients will have the option of returning a counter-signed printed hard copy of the agreement, or returning the counter-signed pdf copy via email to our dedicated email in-box: Region2_GrantApplicationBox@epa.gov. Please also ensure that you keep a copy for your records.

In addition to the information provided above, please note the attachment included with this letter that summarizes new government-wide requirements for federal assistance agreement recipients. The attachment also includes a link to EPA’s Office of Grants and Debarment website, which periodically hosts informational Webinars on various grants management topics, as well as a link to the National Partnership for Environmental Technology Education (NPETE), which provides additional training specifically to tribes and territories for EPA assistance agreements.

I hope you find the information above and in the attachment useful. We look forward to receiving your applications in a timely manner. If you have any questions regarding the application process, please feel free to contact us at the numbers and email addresses indicated above.

Sincerely,



Roch Baamonde
Grants Management Officer

Attachment

Submittal of Electronic Grant Documents:

We are pleased to announce the availability of EPA Region 2's dedicated email in-box for receiving original pdf copies of grant forms and documents. The email in-box address is Region2_GrantApplicationBox@epa.gov and we will accept signed pdf copies of the following documents through this box:

- Financial assistance applications for grants and cooperative agreements that are not otherwise required to be submitted through Grants.gov, including all required forms, assurances and certifications. Only scanned pdf documents with signatures will be accepted as valid applications. Documents submitted in other file formats will not be accepted.
- Counter-signed grant awards (acceptance copies);
- Requests for award amendments, including requests to rebudget funds and to extend the budget and/or project periods of the award;
- Indirect Cost Rate agreements and proposals;
- Courtesy copies of Federal Financial Reports (FFRs; Standard Form 425s) that you submit to the EPA Las Vegas Finance Center;
- EPA Form 5700-52A, "MBE/WBE Utilization Under Federal Grants, Cooperative Agreements and Interagency Agreements." Only scanned pdf documents with signatures prepared on the current form will be accepted as valid reports. Documents submitted in other file formats or on expired forms will not be accepted as valid reports. A blank copy of the current Form 5700-52A can be downloaded from the EPA website, <http://www.epa.gov/osbp/grants.htm>.
- Updates to recipient information, including email addresses, changes in contact information or changes in authorized representatives.

New Requirements for Grant Recipients:

Subrecipient Compensation and Reporting

Prime Grant Recipients awarded a new Federal grant greater than or equal to \$25,000 as of October 1, 2010 are subject to the Federal Funding Accountability and Transparency Act (FFATA) sub-award reporting requirements as outlined in the Office of Management and Budgets (OMB) guidance issued August 27, 2010. The prime awardee is required to file a FFATA sub-award report by the end of the month following the month in which the prime recipient awards any sub-grant greater than or equal to \$25,000. Recipients will report this information using the FFATA Subaward Reporting System (FSRS) <https://www.fsrs.gov/>.

FFATA prescribes specific pieces of information to be reported:

1. The following data about subawards greater than \$25K
 - a. Name of entity receiving award
 - b. Amount of award
 - c. Funding agency
 - d. NAICS code for contracts / CFDA program number for grants
 - e. Program source
 - f. Award title descriptive of the purpose of the funding action
 - g. Location of the entity (including congressional district)
 - h. Place of performance (including congressional district)
 - i. Unique identifier of the entity and its parent; and
 - j. Total compensation and names of top five executives (same thresholds as for primes)
2. The Total Compensation and Names of the top five executives if:

- a. More than 80% of annual gross revenues from the federal government, and those revenues are greater than \$25M annually and
- b. Compensation information is not already available through reporting to the SEC.

Please see the site below for more guidance:

[OMB Guidance on FFATA Subaward and Executive Compensation Reporting](#)

Central Contractor Registration (CCR) database

Under this new requirement, Federal agencies must require applicants to have a DUNS and Bradstreet Data Universal Numbering System (DUNS) number and maintain current registrations in the Central Contractor Registration (CCR) database. In addition, if a recipient is authorized to make subawards under its grant, it may make subawards only to entities that have DUNS numbers. The requirements are effective for all awards made on, or after, October 1, 2010. Please be aware that your organization's identification information in DUNS must be consistent with the information provided for your CCR registration. Otherwise, your assistance application will be flagged with an error and may result in a delay in awarding your assistance agreement until the discrepancies are corrected.

State Grant Workplans and Progress Reports

The new policy for State Grant Workplans and Progress Reports is designed to 1) enhance accountability for achieving grant performance objectives; 2) ensure that State grants are aligned with the Agency's Strategic Plan; and 3) provide for more consistent performance reporting. To achieve those objectives, the policy requires that workplans and associated progress reports prominently display three "Essential Elements." These elements include 1) the EPA Strategic Plan Goal; 2) the EPA Strategic Plan Objective; and 3) Workplan Commitments plus time frame.

The term "Strategic Plan Goal" refers to a strategic goal, derived from EPA's mission that is set forth in EPA's Strategic Plan. The EPA Strategic Plan covers a five year period and is updated periodically. The FY 2011-2015 EPA Strategic Plan identifies five goals: Goal 1) Taking Action on Climate Change and Improving Air Quality; Goal 2) Protecting America's Waters; Goal 3) Cleaning Up Our Communities; Goal 4) Ensuring the Safety of Chemicals and Preventing Pollution; and Goal 5) Enforcing Environmental Laws.

The term "Strategic Plan Objective" refers to a more specific description of the results EPA wants to achieve, contributing to the attainment of a Strategic Plan Goal. Additional information on "Strategic Plan Objectives" may be found at <http://www.epa.gov/planandbudget/>.

This policy applies to the fourteen State Categorical Program Grants shown below and will go into effect for awards made on, or after, October 1, 2012.

14 Categorical State Grant Programs

- State and Local Assistance (Clean Air Act Section 105)
- Radon
- Toxic Substances Compliance (Lead and PCB/Asbestos)
- Pesticides Enforcement
- Lead
- Pesticides Program Implementation
- Hazardous Waste Financial Assistance
- Brownfields (Comprehensive Environmental Response, Compensation, and Liability Act Section 128)
- Underground Storage Tanks
- Pollution Control (Clean Water Act Section 106)
- Non-point Source Pollution Control (Clean Water Act Section 319)
- Beaches Protection
- Public Water System Supervision

- Underground Injection Control

Grants Management Webinars: In an effort to keep EPA grant applicants and recipients informed, EPA's Office of Grants and Debarment periodically hosts informational Webinars on various grants management topics. Whether you are applying for an EPA grant, or are currently managing an EPA grant we encourage you to attend these Webinars. To obtain information about upcoming Webinars and to view/listen to previous Webinars, please visit the following website:

<http://www.epa.gov/ogd/training/grantaward.htm>.

Grants Management for Tribal Organizations: EPA is working with the National Partnership for Environmental Technology Education (NPETE) to offer training opportunities for tribal and territorial grant recipients on the basics of grants management. Information on current offerings may be found by viewing the NPETE website at: <http://www.petetribal.org>.